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**Record: 1**

**Title:** CDO Round-Up: C-Bass Repackages Bonds, Taps the Market.

**Authors:** Graubard, David  
Gregory, Michael

**Source:** Private Placement Letter; 1/29/2001, Vol. 19 Issue 4, p2, 2/3p

**Document Type:** Article

**Subject Terms:** \*COLLATERALIZED mortgage obligations

**Company/Entity:** CREDIT-Based Asset Servicing & Securitization LLC  
NAICS/Industry Codes525990 Other Financial Vehicles

**Abstract:** Reports on the plan of Credit Based Asset Servicing and Securitization to enter the collateralized debt obligation portfolio management industry.

**Full Text Word Count:** 592

**ISSN:** 1094-8996

**Accession Number:** 6284167

**Database:** Business Source Complete

## **CDO ROUND-UP: C-BASS REPACKAGES BONDS, TAPS THE MARKET**

**Credit Based Asset Servicing and Securitization** (C-BASS) will become one of the first home-equity/mortgage shops also to be a collateralized debt obligation (CDO) portfolio manager.

The \$260 million deal, which is backed 65% by residential mortgage-backed securities and 35% by asset-backed securities, is being led by Credit Suisse First Boston. At press time, CSFB was pre-marketing the equity piece. The bonds backing the deal have an aggregate average rating below triple-B-minus, according to rating agency source.

"What's unique about this one is that there's going to be a lot of non-investment grade subordinate tranches in it," said an agency source. Most of the current asset-backed CDOs tend to hover around the triple-B quality range, the source added.

C-BASS has been a regular issuer of both asset and mortgage-backed securities.

The company brought five transactions for nearly \$1 billion to the ABS market last year, according to Thomson Financial Securities Data. In addition to its servicing operations and home-equity term deals, C-BASS is also an investor of subordinate bonds. As one source put it, "They buy the tranches that have the most juice."

Because C-BASS tends to buy the riskiest bonds, they usually retain special servicing rights on the deals.

C-BASS has done re-securitizations in the past, through structures that are comparable to

net-interest margin repackagings (NIMs), one source said.

However, CDOs of ABS were one of last year's blow-out trends, and, according to the rating agencies, it's not surprising that the market is seeing less traditional collateral manager types tapping the arbitrage vein.

Ironically or not, the rating agencies continue to release default studies demonstrating how well securitized products perform in the long term, when compared to corporate debt. A source noted the likelihood that the agencies are responding to this growing market of CDOs that repackage ABS, MBS and CMBS.

### **CDOs Circling**

Also in the market last week, Netherlands' based M&G Investment Management Ltd (Prudential M&G) will manage a portfolio of various classes of fixed- and floating-rate notes in a European arbitrage CDO called Panther CDO I BV. The transaction comprises five tranches totaling GBP313 million in all. Morgan Stanley Dean Witter is underwriting the deal.

The proceeds will be invested in a £300 million portfolio of investment-grade and high-yield bonds, private placements, bank perpetuals, structured finance securities and senior secured loans according to the presale report.

The issue will be carved into two senior tranches, a £240 million class I and a £32 million class II. The mezzanine class III will be £17.5 million in size and there will also be subordinated notes and combination notes for £23.5 million and £5 million respectively. All tranches mature in 2016

Also last week, Lehman Brothers priced the \$300 million Saybrook Point CBO. Collateral manager on the deal is General Re/New England Asset Management.

Quietly some bankers were admitting that selling the equity in CDOs is not as easy as it could be with the string of bankruptcies the U.S. has seen in the recent weeks and more than a few CDO downgrades of late.

For example, CDO investors were in shock that within one month two triple-A rated CDO transactions had been downgraded for the first time. NorthStar 1997-2 was dinged by Standard & Poor's on Jan. 4 to AA from AAA and Fitch downgraded the deal to AA+ from AAA on Jan 5.

Eisberg Finance Ltd.

also known as BISTRO 97-1000 was downgraded to Aa1 on watch for downgrade from Aaa.

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By David Graubard and Michael Gregory

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**ProQuest**Databases selected: Multiple databases...**S&P Asgns Prelim Rtgs to Deutsche Bank Arbitrage CDO**

PR Newswire. New York: Nov 9, 2001. pg. 1

**Abstract (Summary)**

LONDON, Nov. 9 /PRNewswire/ -- Preliminary ratings have been assigned to the class A-2, A-3, B, and C notes to be issued by special-purpose entity Beethoven CDO S.A. (see list below).

Beethoven CDO S.A. is an arbitrage collateralized debt obligation (CDO) transaction managed by Deutsche Asset Management International GmbH as portfolio adviser and DWS Finanz-Service GmbH as adviser. The assets being securitized comprise a portfolio of euro- denominated investment-grade debt securities and synthetic securities.

**Full Text (251 words)***Copyright PR Newswire - NY Nov 9, 2001*

LONDON, Nov. 9 /PRNewswire/ -- Preliminary ratings have been assigned to the class A-2, A-3, B, and C notes to be issued by special-purpose entity Beethoven CDO S.A. (see list below).

Beethoven CDO S.A. is an arbitrage collateralized debt obligation (CDO) transaction managed by Deutsche Asset Management International GmbH as portfolio adviser and DWS Finanz-Service GmbH as adviser. The assets being securitized comprise a portfolio of euro- denominated investment-grade debt securities and synthetic securities.

The preliminary ratings reflect:

- The expected commensurate level of credit support in the form of subordination to be provided by the notes junior to the respective classes;
- The cash-flow structure, which is subject to various stresses requested by Standard & Poor's;
- The experience of the portfolio adviser and adviser;
- The coverage of interest-rate risk through hedge agreements; and
- The legal structure of the transaction, which includes the bankruptcy-remoteness of the issuer.

A copy of Standard & Poor's complete presale report for this transaction is available on RatingsDirect, Standard & Poor's Web-based credit analysis system, at <http://www.ratingsdirect.com>. The report is also available on Standard & Poor's Ratings Services Web site at <http://www.standardandpoors.com>. Under Presale Reports, select Structured Finance, then Asset-Backed Securities.

**PRELIMINARY RATINGS ASSIGNED**

Beethoven CDO S.A.

EUR483 Million Fixed- and Floating-Rate Notes Due 2013

**[Table]**

Class Rating Amount (EUR)

A-1 N.R. 432

A-2 AAA 19

A-3 AA 13  
B A- 13  
C BBB 6  
Preferred equity certificates N.R. 28  
N.R. -- not rated. SOURCE Standard & Poor's

**[Reference]**

Message No: Industry: BANKING/FINANCIAL SERVICES;

**Indexing (document details)**

**Companies:** Deutsche Bank AG (NAICS: 522110, 551111, Sic:6712, 6020, Duns:31-503-4264 )  
**Dateline:** *England*  
**Publication title:** PR Newswire. New York: Nov 9, 2001. . pg. 1  
**Source type:** Wire Feed  
**ProQuest document ID:** 88913830  
**Text Word Count** 251  
**Document URL:** <http://proquest.umi.com/pqdweb?did=88913830&sid=1&Fmt=3&clie ntId=19649&RQT=309&VName=PQD>

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**ProQuest**Databases selected: Multiple databases...**Scudder Global High Income Fund Inc. Declares Dividend***Business Editors. Business Wire. New York: Jul 2, 1998. pg. 1***Abstract (Summary)**

(BUSINESS WIRE)--July 2, 1998--The Board of Directors of Scudder Global High Income Fund, Inc., formerly The Latin America Dollar Income Fund, Inc., today declared a dividend of \$0.375 per share, payable on July 31, 1998, to stockholders of record as of July 20, 1998.

**Full Text (326 words)***Copyright Business Wire Jul 2, 1998*

NEW YORK--(BUSINESS WIRE)--July 2, 1998--The Board of Directors of Scudder Global High Income Fund, Inc., formerly The Latin America Dollar Income Fund, Inc., today declared a dividend of \$0.375 per share, payable on July 31, 1998, to stockholders of record as of July 20, 1998.

The Board voted to maintain the Fund's historical dividend of \$0.375 per share for the quarter ended June 30, 1998. The Fund is currently earning income to support this dividend level. However, as previously disclosed on April 2, 1998, there is still the possibility that stockholders will have a return of capital at fiscal year end. Therefore, a portion of this dividend may be derived from capital gains or may be treated as a nontaxable return of capital distribution. The final tax status of the Fund's 1998 distributions will be determined at the end of the year.

The current distribution rate represents an 11.70% yield based on the June 30, 1998, closing market price of \$12.8125, and a 12.57% yield based on the NAV of \$11.93 on June 30, 1998. The yield based on the original offer price of \$15.00 is 10%. Both the distribution rate and the yield are based on current market conditions and may not be indicative of future performance.

Scudder Global High Income Fund, Inc., a non-diversified closed-end management investment company, is listed on the New York Stock Exchange under the symbol LBF. The Fund's investment objective is to seek high current income through investment in a portfolio of emerging markets debt instruments.

Scudder Kemper Investments, Inc. is one of the largest and most experienced investment management organizations worldwide, managing more than \$200 billion in assets globally for mutual fund investors, retirement and pension plans, institutional and corporate clients, insurance companies and private family and individual accounts. It is one of the ten largest mutual fund companies in the U.S.

For more information, please call Thomas F. McDonough, Secretary of the Fund, at (617) 295-2567. SEQN: BW1238

**Indexing (document details)****Author(s):** Business Editors**Dateline:** NEW YORK**Publication title:** Business Wire. New York: Jul 2, 1998. pg. 1**Source type:** Wire Feed**ProQuest document ID:** 30907754**Text Word Count** 326**Document URL:** <http://proquest.umi.com/pqdweb?did=30907754&sid=1&Fmt=3&clie ntlid=19649&RQT=309&VName=PQD>

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# Mutual Bonds: A colossal undertaking

Forsyth, Randall W

Barron's National Business and Financial Weekly; Jan 4, 1993; ABI/INFORM Global  
pg. 31

January 4, 1993

BARRON'S / MUTUAL FUNDS

Page 31

Cont. from Preceding Page

lent of cellular reproduction: As increased use of peripherals makes networks more complex, they start dividing, like cells in mitosis. That creates even greater demand for routers to reintegrate them, which in turn has meant gangbusters business for Wellfleet: annual sales growth of 50% even in a recessionary economy.

Although Wellfleet trails Cisco Systems (also in Alger's portfolio), having sold approximately 8,000 units compared with perhaps 10 times that many sold by the much larger com-

pany, it is Cisco's only significant competitor in a market that has been scarcely scratched. Given those variables, Alger expects Wellfleet to earn \$1.60 a share in the June 1993 fiscal year, up smartly from 95 cents last year, and \$2.40 in 1994. On a calendar-year basis, he's figuring on \$2 a share in 1993.

Turning away from our hottest stock pickers of six to 18 months ago, there remains one other choice deserving of acknowledgment: Circus Circus Enterprises, which made it into last year's top 10 after getting the nod in March 1991 from Loris Muzzatti of Seligman Cap-

ital. Thirteen months later it was seconded by Clifford Krauss, manager of Eaton Vance Special Equities, and rewarded its fans with a 23.1% gain through Dec. 28.

On the other hand, the lack of any other repeat recommendations underscores Wall Street's fickle nature: Four of the stocks that made it into last year's list of best performers were health-care issues—a category notably absent from this year's roster. That alone should underscore the basic wisdom underlying most mutual fund philosophies: diversify, diversify, diversify.

## Mutual Bonds

Portfolio Analysis Of  
Selected Fixed-Income Funds

### A Colossal Undertaking

By RANDALL W. FORSYTH

IBM and GM aren't the only colossuses having to mend their ways. The Putnam American Government Income Fund also has been forced to downsize and change its basic approach to doing business. In the case of the Putnam fund, there are signs that the turnaround is taking place.

Previously known as the Putnam High-Income Government Trust, it burgeoned into the third-largest bond fund, with assets peaking at \$11 billion in 1987. That growth, however, came from promising more than it could deliver. Through the legend of options writing, the fund sought to pay out a higher yield than the portfolio's securities earned, which obviously was untenable. (Mutual Bonds, Aug. 1, 1988.) In 1989-90, the fund changed tactics by supplementing income with short-term capital gains, including those from options and futures trading, which didn't work out much better.

Investors deserted the fund in droves after its consistent underperformance, and its net-asset per share value has shrunk by one-fourth since its inception. As the fund's total assets dropped to about \$4 billion, Putnam's management fees also fell, by \$30 million from their peak. And, as with the industrial behemoths, this record of underachievement forced dramatic changes, the fund's name being the least of them.

Two new co-managers, Kenneth Taubs and Max Senter, took over early in the year, with the assignment to change the fund's basic aim. Options and other tricks to boost yield were out, total return and stable NAV were in.

The Putnam American Government Income Fund's new emphasis is on CMOs, or collateralized mortgage obligations. CMOs take garden variety Freddie Mac, Fannie Mae or Ginnie Mae mortgage-backed securities and slice them into individual pieces, or tranches, with specific investment characteristics.

The ability to use CMOs in a government fund is rare, says Taubs. Putnam's size, moreover, also confers certain advantages. "We have the ability to go to a broker-dealer and say to them, 'We need a certain type of bond, with a certain maturity, certain yield characteristics, for a certain investment portfolio.' We are able, therefore, to drive a lot of CMO deals that are done. A very neat position for a mutual fund, I think."

Out of a 7½% Fannie Mae, Putnam, using its clout, can garner a security with the yield of a 9% or 10% mortgage-backed

security. The fund can also enjoy vastly reduced cash-flow uncertainty from a PAC, or planned amortization class, CMO. There's no magic to the alchemy, however. "The CMO market is a zero-sum game. Someone is holding the bag, so to speak," Taubs notes. That frequently is the individual investor, who typically buys the "support" tranche that absorbs the cash-flow risk from the PAC class, for a smidgeon more yield. "We don't think individuals should be investing in CMO bonds for that reason," he adds.

While CMOs currently comprise 20% of the fund's portfolio, 40% is in underlying "collateral" mortgage securities (what the Street calls issues that haven't been sliced and diced into CMOs). Taubs emphasizes that the fund is concentrating on issues that have relatively stable cash-flow characteristics, rather than those that throw off the highest current yield. Those primarily are 8½% issues that have been seasoned, which tend to have more predictable prepayment characteristics.

The remaining 40% of the Putnam American Government Income Fund's holdings are Treasury securities. This portion of the portfolio is used to adjust its duration, which is a measure of its price sensitivity to interest-rate movements. But Taubs has shifted the allocation toward mortgage securities, as their yield advantage over Treasuries increased in recent months.

All of which adds up to a significant change in direction for the Putnam American Government Income Fund. Turning around such a supertanker isn't easy, but its returns now are about par for the group. Too bad it took nearly four years since Barron's brought its shortcomings to light.

### Vital Statistics

Total Return (as of 11/30/92)

|                |        |
|----------------|--------|
| Latest qtr.    | -0.60% |
| Year to date   | 4.25   |
| Latest year    | 5.35   |
| Latest 5 years | 46.06  |

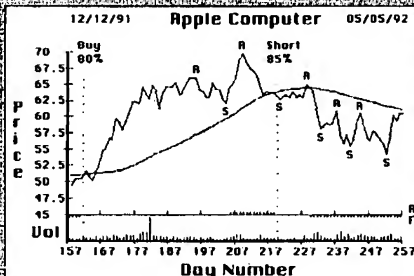
Source: Lipper Analytical Services

### Sales Charges

|                |       |
|----------------|-------|
| Initial load:  | 4.75% |
| Deferred:      | None  |
| 12b-1 fee:     | 0.24% |
| Expense ratio: | 0.97  |

Fund Family: Putnam Financial  
One Post Office Square  
Boston, Mass. 02108  
Telephone: (800) 225-1581

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| APPL   | Buy   | 12/12/91 | 500    | 51.75 | 52.00 | 51.50 | 51.75 | 0.00   | 0.00  |
| APPL   | Short | 12/12/91 | 500    | 51.75 | 52.00 | 51.50 | 51.75 | 0.00   | 0.00  |

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| S2  | 1397010 | TRANSACTION? ? OR PURCHAS??? OR TRADE? ? OR TRADING OR ORDER? ? OR ORDERING OR EXCHANG??? OR DEAL OR DEALS OR DEALING? ? OR BUY OR BUYING OR BOUGHT OR SALE OR SALES OR SELL OR CHANGE OR CHANGES OR CHANGING                                     |
| S3  | 399652  | (INVESTMENT? ? OR ASSET OR ASSETS OR STOCKS OR BONDS OR FUTURES OR COMMODITY??? OR SECURIT??? OR EQUITI??? OR DEBT)(4N)-(PORTFOLIO? ? OR GROUP? ? OR BLOCK? ? OR BLOC OR LIST OR LISTS OR ACCOUNT? ? OR COLLECTION? ? OR INDEX??)                 |
| S4  | 54518   | (COLLATERALI?ED OR COLLATERAL OR COLLATERALI?TION OR DEBT - OR NEGOTIABLE OR SECURED OR SECURITIZAT??? OR ASSET()BACKED OR GUARANTY OR GUARANTEE??? OR PROMISSORY OR FINANC???) (1N)(INSTRUMENT? ? OR OBLIGATION? ? OR NOTE? ? OR DRAFT? ?)       |
| S5  | 279032  | S1(8N)S2                                                                                                                                                                                                                                          |
| S6  | 2787    | S3(12N)S4                                                                                                                                                                                                                                         |
| S7  | 114     | S5(16N)S6                                                                                                                                                                                                                                         |
| S8  | 67      | S7 NOT PY>2002                                                                                                                                                                                                                                    |
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02832807 Supplier Number: 25335472  
RMF Investment Managers.

(a Euro300 mil collateralized debt obligation will be launched)

Euroweek, n 768, p 46(1)

August 30, 2002

DOCUMENT TYPE: Journal ISSN: 0952-7036 (United Kingdom)

LANGUAGE: English RECORD TYPE: Fulltext

WORD COUNT: 95

TEXT:

\* Goldman Sachs will in mid to late September launch a Eu300m collateralised debt obligation managed by RMF Investment Managers, the investment group bought by Man Group in May this year.

RMF Euro CDO SA will pool senior and mezzanine loans as...

9/3,K/2 (Item 2 from file: 9)

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02362398 Supplier Number: 24734841 (USE FORMAT 7 OR 9 FOR FULLTEXT)

CDO Round-Up: C-Bass Repackages Bonds, Taps the Market

(Credit Based Asset Servicing & Securitization (C-BASS) will add collateralized debt obligation portfolio manager abilities to home-equity/mortgage functions)

Private Placement Letter, v 19, n 4, p 2

January 29, 2001

DOCUMENT TYPE: Newsletter ISSN: 0735-9950 (United States)

LANGUAGE: English RECORD TYPE: Fulltext

WORD COUNT: 561

TEXT:

...BASS) will become one of the first home-equity/mortgage shops also to be a collateralized debt obligation (CDO) portfolio manager.

The \$260 million deal, which is backed 65% by residential mortgage-backed securities and 35% by asset-backed securities...

9/3,K/3 (Item 3 from file: 9)

DIALOG(R)File 9:Business & Industry(R)

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02360836 Supplier Number: 24734688 (USE FORMAT 7 OR 9 FOR FULLTEXT)

CDO review: C-BASS repackages bonds

(Credit Suisse First Boston leads \$260 mil deal in which Credit Based Asset Servicing and Securitization will become one of the first home-equity/mortgage shops also to be a collateralized debt obligation portfolio manager)

Asset Securitization Report, p N/A

January 29, 2001

DOCUMENT TYPE: Newsletter (United States)

LANGUAGE: English RECORD TYPE: Fulltext

WORD COUNT: 584

TEXT:

...BASS) will become one of the first home-equity/mortgage shops also to be a collateralized debt obligation (CDO) portfolio manager.

The \$260 million deal, which is backed 65% by residential mortgage-backed securities and 35% by asset-backed securities...

^ 9/3,K/4 (Item 4 from file: 9)

DIALOG(R)File 9:Business & Industry(R)

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02331948 Supplier Number: 25927826 (USE FORMAT 7 OR 9 FOR FULLTEXT)

Goldman Sachs increases issue by 25% awaiting investment to pour into largest Euro arb CDO

(Goldman Sachs launches a Euro500 mil cashflow arbitrage CDO; Barclays Capital functioned as collateral manager on the loan/bond portfolio)  
Euroweek, n 682, p 52  
December 08, 2000  
DOCUMENT TYPE: Journal ISSN: 0952-7036 (United Kingdom)  
LANGUAGE: English RECORD TYPE: Fulltext  
WORD COUNT: 460

TEXT:

Goldman Sachs last Friday offered a Eu500m cashflow arbitrage collateralised debt obligation (CDO) with Barclays Capital acting as collateral manager on the portfolio of bonds and loans.

The deal is the largest high yield cashflow CDO ever to come to market in Europe. It...

9/3,K/5 (Item 1 from file: 15)  
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02130331 68532460  
German regulator targets energy derivatives  
Fried, Jorg; Herring, Frank  
International Financial Law Review v19n12 PP: 13-16 Dec 2000  
ISSN: 0262-6969 JRNL CODE: IFL  
WORD COUNT: 3043

...TEXT: trading is being conducted in the form of

\* "principal broking", defined as the purchase or sale of financial instruments in the name of the broker for the account of others;

\* "investment broking", defined as the brokering of business involving the purchase and sale of financial instruments...

9/3,K/6 (Item 2 from file: 15)  
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01683540 03-34530  
Scientific trader management  
Grant, Kenneth  
Futures-Cedar Falls v27n8 PP: 74-76 Aug 1998  
ISSN: 0746-2468 JRNL CODE: CMM  
WORD COUNT: 1845

...TEXT: than using trading instruments that produce the most profits, advisors sometimes concentrate their trading on financial instruments and modes of execution that produce less profits. For example, say a portfolio manager using futures executes 80% of his trades in wheat and the rest in soybeans. If 90% of his profits result from soybean...

9/3,K/7 (Item 3 from file: 15)  
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01042034 96-91427  
Is a wrap account right for you?  
Myers, Randy  
Nation's Business v83n6 PP: 69 Jun 1995  
ISSN: 0028-047X JRNL CODE: NAB  
WORD COUNT: 811

...TEXT: invest your money (or the mutual funds into which your money will be placed); ongoing management of your portfolio in line with your investment objectives (buying and selling stocks, bonds, mutual funds,

or other financial instruments ); and regular reporting on the status of your account.

If you need those services, one...

9/3,K/8 (Item 4 from file: 15)  
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00767969 94-17361  
Fund management systems: Vendors race to launch open products for stock market surge  
Jones, David  
Financial Technology International Bulletin v10n8 PP: 4-5 Apr 1993  
ISSN: 0265-1661 JRNL CODE: FTI  
WORD COUNT: 625

...TEXT: Clarke & Tilley, whose Uptix package launched last year uses open systems technology to handle mixed portfolios of securities and financial instruments. Uptix, which is based on SQL and X-windows technology, provides the usual range of: order processing, multiple deal entry, portfolio management, income processing and management reports. In addition, Uptix offers decision support capabilities, real-time spreadsheets...

9/3,K/9 (Item 5 from file: 15)  
DIALOG(R)File 15:ABI/Inform(R)  
(C) 2007 ProQuest Info&Learning. All rts. reserv.

00722032 93-71253  
Understanding hedging and derivative products  
Klecka, Eileen  
Journal of Cash Management v13n3 PP: 44-48 May/Jun 1993  
ISSN: 0731-1281 JRNL CODE: JCG  
WORD COUNT: 2814

...TEXT: the Chicago Board of Trade. Klecka's background includes 13 years of trading cash market financial instruments, currencies and interest rate products, as well as managing institutional investment and trading portfolios.

9/3,K/10 (Item 6 from file: 15)  
DIALOG(R)File 15:ABI/Inform(R)  
(C) 2007 ProQuest Info&Learning. All rts. reserv.

00612816 92-27919  
Experts Offer Look at Economic Value of Managed Futures  
Swieca, Henry; Dubin, Glenn; Hornig, George  
Pension world v28n5 PP: 12-13 May 1992  
ISSN: 0098-1753 JRNL CODE: PWN  
WORD COUNT: 1163

...TEXT: the futures markets consist of over 50 markets worldwide representing nine major sectors. These include financial -based instruments, such as currencies, as well as bond and stock index futures. Over 30 domestic contracts are actively traded worldwide. The growth in managed futures assets, from \$750 million in 1980 to over \$21 billion today, reflects the growing recognition of...

^ 9/3,K/11 (Item 1 from file: 16)  
DIALOG(R)File 16:Gale Group PROMT(R)  
(C) 2007 The Gale Group. All rts. reserv.

09984310 Supplier Number: 90242187 (USE FORMAT 7 FOR FULLTEXT)  
S&P Puts Orion Euro High Yield's CBO Nts on Watch Neg.

Business Wire, p0068  
August 9, 2002  
Language: English Record Type: Fulltext  
Document Type: Newswire; Trade  
Word Count: 250

... High Yield B.V. on Creditwatch with negative implications following the resignation of LCF Rothschild Asset Management Ltd. as investment manager (see list below).

The collateral for this CBO transaction comprises a portfolio of high-yield debt securities, investment-grade securities, and other debt obligations, which have been actively managed by LCF Rothschild since the Orion transaction closed in August...

~~9/3,K/12~~ (Item 2 from file: 16) *Comp*  
DIALOG(R)File 16:Gale Group PROMT(R)  
(c) 2007 The Gale Group. All rts. reserv.

09164759 Supplier Number: 79890341 (USE FORMAT 7 FOR FULLTEXT)  
S&P Asgns Prelim Rtgs to Deutsche Bank Arbitrage CDO.  
PR Newswire, pNA  
Nov 9, 2001  
Language: English Record Type: Fulltext  
Document Type: Newswire; Trade  
Word Count: 258

... entity Beethoven CDO S.A. (see list below).  
Beethoven CDO S.A. is an arbitrage collateralized debt obligation (CDO) transaction managed by Deutsche Asset Management International GmbH as portfolio adviser and DWS Finanz-Service GmbH as adviser. The assets being securitized comprise a portfolio...

9/3,K/13 (Item 3 from file: 16)  
DIALOG(R)File 16:Gale Group PROMT(R)  
(c) 2007 The Gale Group. All rts. reserv.

06407584 Supplier Number: 54863487 (USE FORMAT 7 FOR FULLTEXT)  
JAPAN'S SECURITIES INDUSTRY: FROM BIG BANG TO E-BOOM.  
JEI Report, v1999, n22, pNA  
June 11, 1999  
Language: English Record Type: Fulltext  
Document Type: Newsletter; Trade  
Word Count: 7134

... merchandising in Japan, discount brokerages could shake up the securities business.

\* Permitting innovation in both financial instruments and financial trading strategies. The 1997 introduction of cash management accounts, for example, gave securities firms a weapon to counter the traditional line of financial products offered by banks. Investors...

9/3,K/14 (Item 4 from file: 16)  
DIALOG(R)File 16:Gale Group PROMT(R)  
(c) 2007 The Gale Group. All rts. reserv.

06016249 Supplier Number: 53427781 (USE FORMAT 7 FOR FULLTEXT)  
Scudder Global High Income Fund Announces Dividend.  
Business Wire, p1448  
Dec 18, 1998  
Language: English Record Type: Fulltext  
Document Type: Newswire; Trade  
Word Count: 365

... taxable return of capital.

Scudder Global High Income Fund, Inc., a non-diversified closed-end management investment company, is listed on the New York Stock Exchange

under the symbol LBF. The Fund's investment objective is to seek high current income through investment in a portfolio of emerging markets debt instruments.

Scudder Kemper Investments, Inc. is one of the largest and most experienced investment management organizations...

9/3,K/15 (Item 5 from file: 16) *comp*  
DIALOG(R)File 16:Gale Group PROMT(R)  
(c) 2007 The Gale Group. All rts. reserv.

05697933 Supplier Number: 50140831 (USE FORMAT 7 FOR FULLTEXT)  
Scudder Global High Income Fund Inc. Declares Dividend.  
Business Wire, p07021238  
July 2, 1998  
Language: English Record Type: Fulltext  
Article Type: Article  
Document Type: Newswire; Trade  
Word Count: 340

... indicative of future performance.  
Scudder Global High Income Fund, Inc., a non-diversified closed-end management investment company, is listed on the New York Stock Exchange under the symbol LBF. The Fund's investment objective is to seek high current income through investment in a portfolio of emerging markets debt instruments.  
Scudder Kemper Investments, Inc. is one of the largest and most experienced investment management organizations...

9/3,K/16 (Item 6 from file: 16)  
DIALOG(R)File 16:Gale Group PROMT(R)  
(c) 2007 The Gale Group. All rts. reserv.

04286713 Supplier Number: 46281709 (USE FORMAT 7 FOR FULLTEXT)  
Scudder world Income Opportunities Fund declares dividend.  
Business Wire, p04041238  
April 4, 1996  
Language: English Record Type: Fulltext  
Document Type: Newswire; Trade  
Word Count: 323

... of future performance.  
Launched in April 1994, the Fund is a non-diversified closed-end management investment company listed on the New York Stock Exchange under the symbol SWI. The Fund's investment objective is to seek high current income through investment in a portfolio of emerging markets debt instruments. The Fund may initially invest in the securities primarily of Latin American issuers, given that...

9/3,K/17 (Item 7 from file: 16)  
DIALOG(R)File 16:Gale Group PROMT(R)  
(c) 2007 The Gale Group. All rts. reserv.

04119797 Supplier Number: 46011457 (USE FORMAT 7 FOR FULLTEXT)  
Scudder world Income Opportunities Fund declares regular quarterly dividend.  
Business Wire, p12181146  
Dec 18, 1995  
Language: English Record Type: Fulltext  
Document Type: Newswire; Trade  
Word Count: 378

... of future performance.  
Launched in April 1994, the Fund is a non-diversified closed-end management investment company listed on the New York Stock Exchange under the symbol SWI. The Fund's investment objective is to seek high current income through investment in a portfolio of emerging markets

debt instruments . The Fund may initially invest in the securities primarily of Latin America issuers, given that...

9/3,K/18 (Item 8 from file: 16)  
DIALOG(R)File 16:Gale Group PROMT(R)  
(c) 2007 The Gale Group. All rts. reserv.

01645847 Supplier Number: 42036353 (USE FORMAT 7 FOR FULLTEXT)  
Virginia said to hire for futures  
Pensions & Investments, p2  
April 29, 1991  
Language: English Record Type: Fulltext  
Document Type: Magazine/Journal; Trade  
Word Count: 241

... a separate asset class, not as a hedge or enhancement to a stock or bond portfolio , and use commodity futures as well as financial instruments . Generally, a firm running managed futures will act as a manager of managers , dividing assets among several commodity trading advisers.

Those in the managed futures industry say the strategy offers high returns with low...

9/3,K/19 (Item 1 from file: 148)  
DIALOG(R)File 148:Gale Group Trade & Industry DB  
(c)2007 The Gale Group. All rts. reserv.

15252107 SUPPLIER NUMBER: 94972187 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
S&P Lwrs Rtgs on Concerto I's A and B Nts; Off Watch.  
Business Wire, 0061  
Dec 6, 2002  
LANGUAGE: English RECORD TYPE: Fulltext  
WORD COUNT: 525 LINE COUNT: 00049

... they had been placed on Oct. 10, 2002.

Concerto I B.V. is a CDO transaction arranged by Goldman, Sachs & Co. AXA Investment Managers S.A. is the investment manager of the portfolio . The EUR477 million floating-, fixed-, and zero coupon-rate notes are collateralized by euro-denominated high-yield corporate bonds and loans.

The lowered ratings on the class...

9/3,K/20 (Item 2 from file: 148)  
DIALOG(R)File 148:Gale Group Trade & Industry DB  
(c)2007 The Gale Group. All rts. reserv.

15155704 SUPPLIER NUMBER: 92614359 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
Financial and business statistics.  
Federal Reserve Bulletin, 88, 9, A1(56)  
Sept, 2002  
ISSN: 0014-9209 LANGUAGE: English RECORD TYPE: Fulltext  
WORD COUNT: 18174 LINE COUNT: 08479

... given is in millions)

|       |                                          |
|-------|------------------------------------------|
| 0     | Calculated to be zero                    |
| ...   | Cell not applicable                      |
| ABS   | Asset-backed security                    |
| ATS   | Automatic transfer service               |
| BIF   | Bank insurance fund                      |
| CD    | Certificate of deposit                   |
| CMO   | Collateralized mortgage obligation       |
| CRA   | Community Reinvestment Act of 1977       |
| FAMC  | Federal Agriculture Mortgage Corporation |
| FFB   | Federal Financing Bank                   |
| FHA   | Federal Housing Administration           |
| FHLBB | Federal Home Loan Bank Board             |



FHLMC Federal Home Loan Mortgage Corporation  
FmHA Farmers Home Administration  
FNMA Federal National Mortgage Association  
FSA Farm Service Agency  
FSLIC Federal Savings and Loan Insurance...

^ 9/3,K/21 (Item 3 from file: 148)  
DIALOG(R)File 148:Gale Group Trade & Industry DB  
(c)2007 The Gale Group. All rts. reserv.

14557415 SUPPLIER NUMBER: 85671735 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
Muni Sector Sees Demand for Collateralized Debt Vehicles.  
Fine, Jacob  
Bond Buyer, 37  
May 10, 2002  
ISSN: 0732-0469 LANGUAGE: English RECORD TYPE: Fulltext  
WORD COUNT: 356 LINE COUNT: 00034

... securities, including preferred shares, to investors. The proceeds from the offering are typically used to purchase a portfolio of assets

Collateralized debt obligations enhance asset managers' investment capacity, while providing balance-sheet and capital relief, an enhanced lending capacity, lower funding costs...

9/3,K/22 (Item 4 from file: 148)  
DIALOG(R)File 148:Gale Group Trade & Industry DB  
(c)2007 The Gale Group. All rts. reserv.

10509527 SUPPLIER NUMBER: 53053816 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
Scudder Global High Income Fund Dividend Announcement.  
Business Wire, 0158  
Oct 2, 1998  
LANGUAGE: English RECORD TYPE: Fulltext  
WORD COUNT: 359 LINE COUNT: 00032

... indicative of future performance.  
Scudder Global High Income Fund, Inc., a non-diversified closed-end management investment company, is listed on the New York Stock Exchange under the symbol LBF. The Fund's investment objective is to seek high current income through investment in a portfolio of emerging markets debt instruments.  
Scudder Kemper Investments, Inc. is one of the largest and most experienced investment management organizations...

9/3,K/23 (Item 5 from file: 148)  
DIALOG(R)File 148:Gale Group Trade & Industry DB  
(c)2007 The Gale Group. All rts. reserv.

07914212 SUPPLIER NUMBER: 16928889 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
Is a wrap account right for you?(Column)  
Myers, Randy  
Nation's Business, v83, n6, p69(1)  
June, 1995  
DOCUMENT TYPE: Column ISSN: 0028-047X LANGUAGE: ENGLISH  
RECORD TYPE: FULLTEXT; ABSTRACT  
WORD COUNT: 881 LINE COUNT: 00069

... invest your money (or the mutual funds into which your money will be placed); ongoing management of your portfolio in line with your investment objectives (buying and selling stocks, bonds, mutual funds, or other financial instruments); and regular reporting on the status of your account.  
If you need those services, one...

9/3,K/24 (Item 6 from file: 148)  
DIALOG(R)File 148:Gale Group Trade & Industry DB  
(c)2007 The Gale Group. All rts. reserv.

07272156 SUPPLIER NUMBER: 15442049 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
Ecuador. (Ecuador's stock market) (Latin Equities Directory)  
Polit, Leonardo; Palacios, Paul; Orellana, Jose X.  
LatinFinance, n56, p572(5)  
April, 1994  
ISSN: 1048-535X LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT; ABSTRACT  
WORD COUNT: 3635 LINE COUNT: 00287

... Manager of Capital Markets and President of Interinvest Date of  
Establishment: 1994 Equity Services/Specializations: Trading of domestic  
Debt /Equity instruments , English language research, Portfolio  
management , Debt /Equity funds, Custody in Banco Popular. Comments: The  
brokerage house is a subsidiary of Banco...

~~9/3,K/25 (Item 7 from file: 148)~~ *cmp*  
DIALOG(R)File 148:Gale Group Trade & Industry DB  
(c)2007 The Gale Group. All rts. reserv.

06236352 SUPPLIER NUMBER: 13296262  
A colossal undertaking. (Putnam American Government Income Fund) (Mutual  
Bonds) (Column)  
Forsyth, Randall W.  
Barron's, v73, n1, p31(1)  
Jan 4, 1993  
DOCUMENT TYPE: Column ISSN: 0005-6073 LANGUAGE: ENGLISH  
RECORD TYPE: ABSTRACT

...ABSTRACT: was formerly known as the Putnam High-Income Government  
Trust. Weak performance led to a change in name and portfolio managers  
. The investment philosophy of the new managers focuses on  
collateralized mortgage obligations .

9/3,K/26 (Item 8 from file: 148)  
DIALOG(R)File 148:Gale Group Trade & Industry DB  
(c)2007 The Gale Group. All rts. reserv.  
>>>Accession number 5912010 is unavailable

9/3,K/27 (Item 9 from file: 148)  
DIALOG(R)File 148:Gale Group Trade & Industry DB  
(c)2007 The Gale Group. All rts. reserv.

03837939 SUPPLIER NUMBER: 07262731 (USE FORMAT 7 OR 9 FOR FULL TEXT)  
FASB votes to amend its cash flow statement. (Financial Accounting  
Standards Board)  
PR Newswire, 0120NY015  
Jan 20, 1989  
LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT  
WORD COUNT: 422 LINE COUNT: 00034

... the specific conditions are met.  
Another provision of the new statement would apply to banks,  
investment brokers , and others that hold assets in a trading  
account . "Cash receipts and payments resulting from buying and selling  
financial instruments and other assets that are acquired specifically  
for resale and are carried at market value...

9/3,K/28 (Item 1 from file: 160)  
DIALOG(R)File 160:Gale Group PROMT(R)  
(c) 1999 The Gale Group. All rts. reserv.

01787759

Prime Computer cuts worldwide joint marketing deal with EVS for global  
banking system.  
Corporate EFT Report September 30, 1987 p. 3  
ISSN: 0272-0299

... offers an integrated database which supports modules dealing with  
funds transfer, money markets, loans, foreign exchange, securities and  
portfolio management and bonds and other financial instruments.  
In addition, the software offers 3 other major features: Electronic  
Delivery Systems which interface with...

9/3,K/29 (Item 2 from file: 160)  
DIALOG(R)File 160:Gale Group PROMT(R)  
(c) 1999 The Gale Group. All rts. reserv.

01477018

Proposals on Conrail seen soon: US says that no brokerage has the edge.  
NEW YORK TIMES (NATIONAL EDITION) October 20, 1986 p. 23,24

... in revenues and relieve the government of further liability for  
Conrail's debts and other financial obligations. A group of  
investment brokers will be chosen to lead the stock sale, although 1  
firm will make the key decisions on the brokers' activities and keep  
records...

9/3,K/30 (Item 1 from file: 267)  
DIALOG(R)File 267:Finance & Banking Newsletters  
(c) 2007 Dialog. All rts. reserv.

04575171

CDO Round-Up: C-Bass Repackages Bonds, Taps the Market  
David Graubard & Michael Gregory  
Private Placement Letter  
January 29, 2001 DOCUMENT TYPE: NEWSLETTER  
PUBLISHER: SECURITIES DATA PUBLISHING  
LANGUAGE: ENGLISH WORD COUNT: 596 RECORD TYPE: FULLTEXT

(c) SECURITIES DATA PUBLISHING All Rts. Reserv.

...BASS) will become one of the first home-equity/mortgage shops also to be  
a collateralized debt obligation (CDO) portfolio manager.  
The \$260 million deal, which is backed 65% by residential  
mortgage-backed securities and 35% by asset-backed securities...

TEXT:

...BASS) will become one of the first home-equity/mortgage shops also to be  
a collateralized debt obligation (CDO) portfolio manager.  
The \$260 million deal, which is backed 65% by residential  
mortgage-backed securities and 35% by asset-backed securities...

9/3,K/31 (Item 2 from file: 267)  
DIALOG(R)File 267:Finance & Banking Newsletters  
(c) 2007 Dialog. All rts. reserv.

04575036

CDO review: C-BASS repackages bonds  
Michael Gregory & David Graubard  
Asset Sales Report  
January 29, 2001 DOCUMENT TYPE: NEWSLETTER  
PUBLISHER: SECURITIES DATA PUBLISHING  
LANGUAGE: ENGLISH WORD COUNT: 617 RECORD TYPE: FULLTEXT

(c) SECURITIES DATA PUBLISHING All Rts. Reserv.

...BASS) will become one of the first home-equity/mortgage shops also to be  
a collateralized debt obligation (CDO) portfolio manager.

The \$260 million deal , which is backed 65% by residential mortgage-backed securities and 35% by asset-backed securities...

TEXT:

...BASS) will become one of the first home-equity/mortgage shops also to be a collateralized debt obligation (CDO) portfolio manager .

The \$260 million deal , which is backed 65% by residential mortgage-backed securities and 35% by asset-backed securities...

9/3,K/32 (Item 1 from file: 613)

DIALOG(R)File 613:PR Newswire

(c) 2007 PR Newswire Association Inc. All rts. reserv.

00754596 20020425DATH036 (USE FORMAT 7 FOR FULLTEXT)

Williams: 1Q '02 Recurring Earnings of 51 Cents per Share

PR Newswire

Thursday, April 25, 2002 07:45 EDT

JOURNAL CODE: PR LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT

DOCUMENT TYPE: NEWSWIRE

WORD COUNT: 3,679

...on

an enterprise basis. The more significant of these risks relate to its energy

risk management and trading portfolio and debt instruments . To facilitate the

management of the risk, entities within Williams may enter into intercompany derivative...

9/3,K/33 (Item 2 from file: 613)

DIALOG(R)File 613:PR Newswire

(c) 2007 PR Newswire Association Inc. All rts. reserv.

00673509 20011109NYSP001 (USE FORMAT 7 FOR FULLTEXT)

S&P Assigns Prelim Ratings to Deutsche Bank Arbitrage CDO

PR Newswire

Friday, November 9, 2001 07:38 EST

JOURNAL CODE: PR LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT

DOCUMENT TYPE: NEWSWIRE

WORD COUNT: 273

TEXT:

...entity

Beethoven CDO S.A. (see list below).

Beethoven CDO S.A. is an arbitrage collateralized debt obligation (CDO)

transaction managed by Deutsche Asset Management International GmbH as

portfolio adviser and DWS Finanz-Service GmbH as adviser. The assets being

securitized comprise a portfolio...

9/3,K/34 (Item 3 from file: 613)

DIALOG(R)File 613:PR Newswire

(c) 2007 PR Newswire Association Inc. All rts. reserv.

00670532 20011105NYSP004 (USE FORMAT 7 FOR FULLTEXT)

S&P Assigns Prelim Ratings in Quicksilver Euro CBO I Deal

PR Newswire

Monday, November 5, 2001 12:54 EST

JOURNAL CODE: PR LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT

DOCUMENT TYPE: NEWSWIRE

WORD COUNT: 320

TEXT:

...Ltd., a special-purpose entity (see list below).

The transaction involves the securitization of a portfolio of high-yield debt securities, synthetic securities, securities lending, and other debt obligations.

"This is the first euro-denominated collateralized bond obligation (CBO) transaction sponsored by Merrill Lynch Investment Managers Ltd. as collateral manager," said Mario Jadotte, a director at Standard & Poor's Structured Finance...

9/3,K/35 (Item 1 from file: 626)  
DIALOG(R)File 626:Bond Buyer Full Text  
(c) 2007 Bond Buyer. All rts. reserv.

0246928  
Muni Sector Sees Demand for Collateralized Debt Vehicles  
The Bond Buyer - May 10, 2002; Pg. 37; Vol. 340, No. 31384  
Word Count: 335

BYLINE:  
By Jacob Fine

TEXT:  
...securities, including preferred shares, to investors. The proceeds from the offering are typically used to purchase a portfolio of assets.

Collateralized debt obligations enhance asset managers' investment capacity, while providing balance-sheet and capital relief, an enhanced lending capacity, lower funding costs...

9/3,K/36 (Item 1 from file: 810)  
DIALOG(R)File 810:Business Wire  
(c) 1999 Business Wire. All rts. reserv.

0311164 BW681

LATIN AMERICA DOLLAR: The Latin America Dollar Income Fund announces distribution to shareholders

December 18, 1992

Byline: Business Editors

...may not be indicative of future performance.  
The fund is a non-diversified closed-end management investment company listed on the New York Stock Exchange under the symbol LBF. The fund's investment objective is to seek high current income through investment principally in a portfolio of Latin American debt instruments; capital appreciation is a secondary objective.  
Scudder, Stevens & Clark Inc., the fund's investment adviser...

9/3,K/37 (Item 1 from file: 813)  
DIALOG(R)File 813:PR Newswire  
(c) 1999 PR Newswire Association Inc. All rts. reserv.

0137096 NY015  
FASB VOTES TO AMEND ITS CASH FLOW STATEMENT

DATE: January 20, 1989 10:35 E.T. WORD COUNT: 382

...the specific

conditions are met.

Another provision of the new statement would apply to banks, investment brokers, and others that hold assets in a trading account.  
"Cash receipts and payments resulting from buying and selling financial instruments and other assets that are acquired specifically for resale and are carried at market value..."

~~ Patent Literature:

Dialog files: 347,348,349,350

File 347:JAPIO Dec 1976-2007/Mar(updated 070809)

(c) 2007 JPO & JAPIO

File 348:EUROPEAN PATENTS 1978-2007/ 200731

(c) 2007 European Patent Office

File 349:PCT FULLTEXT 1979-2007/UB=20070809UT=20070802

(c) 2007 WIPO/Thomson

File 350:Derwent WPIX 1963-2007/UD=200752

(c) 2007 The Thomson Corporation

| Set | Items | Description                                                                                                                                                                                                                                       |
|-----|-------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| S1  | 33966 | (ASSET? ? OR ACCOUNT? ? OR PORTFOLIO OR PROPERT??? OR INVESTMENT? ? OR STOCK)(2N)(MANAGEMENT OR MANAG??? OR ADMINISTRATION OR AGENT OR MEDIAT??? OR REPRESENTATIVE? ? OR BROKER? ? OR HANDLER? ? OR CONTROLLER? ? OR STEWARD? ? OR SUPERVISOR? ?) |
| S2  | 22114 | TRANSACTION? ? OR PURCHAS??? OR TRADE? ? OR TRADING OR ORDER? ? OR ORDERING OR EXCHANG??? OR DEAL OR DEALS OR DEALING? ? OR BUY OR BUYING OR BOUGHT OR SALE OR SALES OR SELL OR CHANGE OR CHANGES OR CHANGING                                     |
| S3  | 3682  | (INVESTMENT? ? OR ASSET OR ASSETS OR STOCKS OR BONDS OR FUTURES OR COMMODITY??? OR SECURIT??? OR EQUITI??? OR DEBT)(4N)-(PORTFOLIO? ? OR GROUP? ? OR BLOCK? ? OR BLOC OR LIST OR LISTS OR ACCOUNT? ? OR COLLECTION? ? OR INDEX??)                 |
| S4  | 924   | (COLLATERALI?ED OR COLLATERAL OR COLLATERALI?TION OR DEBT - OR NEGOTIABLE OR SECURED OR SECURITIZAT??? OR ASSET()BACKED OR GUARANTY OR GUARANTEE??? OR PROMISSORY OR FINANC???) (1N)(INSTRUMENT? ? OR OBLIGATION? ? OR NOTE? ? OR DRAFT? ?)       |
| S5  | 4091  | S1(8N)S2                                                                                                                                                                                                                                          |
| S6  | 128   | S3(12N)S4                                                                                                                                                                                                                                         |
| S7  | 9     | S5(16N)S6                                                                                                                                                                                                                                         |
| S8  | 9     | S7 AND IC=(G06F OR G06Q)                                                                                                                                                                                                                          |

^ 8/3,K/1 (Item 1 from file: 348)

DIALOG(R)File 348:EUROPEAN PATENTS

(c) 2007 European Patent Office. All rts. reserv.

01770195

Exchange transaction system for financial and related instruments  
Borsentransaktionssystem für Wertpapiere und assoziierte Instrumente  
Système de transactions pour des instruments financiers et des instruments associés

PATENT ASSIGNEE:

IP Strategy Incorporated, (4646260), 5 - 27 Kita-Shinagawa 5-Chome, 141-0001 Tokyo, (JP), (Applicant designated States: all)

INVENTOR:

Nishimaki, Masanobu, Room 504, Axe Gotenyama, 5-27 Kita-Shinagawa 5 chome, Shinagawa-ku, Tokyo 141-0001, (JP)

LEGAL REPRESENTATIVE:

Charig, Raymond Julian et al (79692), Eric Potter Clarkson, Park View House, 58 The Ropewalk, Nottingham NG1 5DD, (GB)

PATENT (CC, No, Kind, Date): EP 1445719 A1 040811 (Basic)

EP 1445719 A1 040811

APPLICATION (CC, No, Date): EP 2003079053 031216;

PRIORITY (CC, No, Date): JP 2002364717 021217

DESIGNATED STATES: CH; DE; GB; LI

EXTENDED DESIGNATED STATES: AL; LT; LV; MK

INTERNATIONAL PATENT CLASS (V7): G06F-017/60

ABSTRACT WORD COUNT: 148

NOTE:

Figure number on first page: NONE

LANGUAGE (Publication,Procedural,Application): English; English; English

FULLTEXT AVAILABILITY:

| Available Text                     | Language  | Update | Word Count |
|------------------------------------|-----------|--------|------------|
| CLAIMS A                           | (English) | 200433 | 2471       |
| SPEC A                             | (English) | 200433 | 49634      |
| Total word count - document A      |           |        | 52105      |
| Total word count - document B      |           |        | 0          |
| Total word count - documents A + B |           |        | 52105      |

INTERNATIONAL PATENT CLASS (V7): G06F-017/60

...CLAIMS be entrusted with asset management, can be performed through at least one of said direct exchange and said cash flow exchange of asset management products.

25. A server for a computer system supporting exchange transactions of at least one of financial instruments and quasi- financial instruments between customers selected from the group consisting of asset managers, capital raisers and capital transactors, wherein the server is equipped to function as a...

8/3,K/2 (Item 1 from file: 349)

DIALOG(R)File 349:PCT FULLTEXT

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01250938 \*\*Image available\*\*

SYSTEM AND METHOD FOR FACILITATING TRADING OF DEBT INSTRUMENTS BETWEEN PARTIES VIA AN ELECTRONIC TELECOMMUNICATIONS NETWORK  
SYSTEME ET METHODE FACILITANT LES OPERATIONS SUR TITRES DE CREANCE ENTRE PARTIES VIA UN RESEAU ELECTRONIQUE DE TELECOMMUNICATIONS

Patent Applicant/Assignee:

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Patent Applicant/Inventor:

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Legal Representative:

ALLENS ARTHUR ROBINSON PATENT & TRADE MARKS ATTORNEYS (agent), Stock Exchange Centre, 530 Collins Street, Melbourne, VIC 3000, AU,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200559781 A1 20050630 (WO 0559781)

Application: WO 2004AU1781 20041217 (PCT/WO AU04001781)

Priority Application: AU 2003907040 20031218

Designated States:

(All protection types applied unless otherwise stated - for applications 2004+)

AE AG AL AM AT AU AZ BA BB BG BR BW BY BZ CA CH CN CO CR CU CZ DE DK DM  
DZ EC EE EG ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC  
LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NA NI NO NZ OM PG PH PL PT RO  
RU SC SD SE SG SK SL SY TJ TM TN TR TT TZ UA UG US UZ VC VN YU ZA ZM ZW  
(EP) AT BE BG CH CY CZ DE DK EE ES FI FR GB GR HU IE IS IT LT LU MC NL PL  
PT RO SE SI SK TR

(OA) BF BJ CF CG CI CM GA GN GQ GW ML MR NE SN TD TG

(AP) BW GH GM KE LS MW MZ NA SD SL SZ TZ UG ZM ZW

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext word Count: 10913

Main International Patent Class (v7): G06F-017/60

Fulltext Availability:

Detailed Description

#### Detailed Description

... in a common format in the form of metadata definitions, allowing one-party using one portfolio management system to interpret debt instrument attributes provided by a party using a different portfolio management system. The metadata definitions based on a Financial Trading Markup Language (FTML) protocol. In a preferred form, the a party may be able to...

...The invention therefore provides a unique solution to the problem of concentration risk and active debt instrument portfolio management by allowing parties to readily trade out of overweighted positions, based on a high degree of transparency and ability to price...

8/3,K/3 (Item 2 from file: 349)  
DIALOG(R)File 349:PCT FULLTEXT  
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00371594 \*\*Image available\*\*

SYSTEM FOR COMBINED POOL PORTFOLIO

SYSTEME DE GESTION DE MISE EN COMMUN DE PORTEFEUILLES

Patent Applicant/Assignee:

METROPOLITAN LIFE INSURANCE COMPANY,

Inventor(s):

HACKEL Kenneth S,

LIVNAT Joshua,

Patent and Priority Information (Country, Number, Date):

Patent: WO 9712336 A1 19970403

Application: WO 96US15310 19960925 (PCT/WO US9615310)

Priority Application: US 95533132 19950925

Designated States:

(Protection type is "patent" unless otherwise stated - for applications prior to 2004)

AL AM AT AU AZ BA BB BG BR BY CA CH CN CU CZ DE DK EE ES FI GB GE HU IL  
IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MD MG MK MN MW MX NO NZ PL PT  
RO RU SD SE SG SI SK TJ TM TR TT UA UG UZ VN KE LS MW SD SZ UG AM AZ BY  
KG KZ MD RU TJ TM AT BE CH DE DK ES FI FR GB GR IE IT LU MC NL PT SE BF  
BJ CF CG CI CM GA GN ML MR NE SN TD TG

Publication Language: English

Fulltext word Count: 4472

Main International Patent Class (v7): G06F-017/60

Fulltext Availability:

Detailed Description

#### Detailed Description

... pension plans comprising employer securities by effecting the transfer of such securities into a separate asset pool; managing the combined portfolio ; selling portions of the contributed stocks; and purchasing other financial instruments (including call options, puts, futures and the like) to increase diversification and manage risk.

It...

8/3,K/4 (Item 1 from file: 350)  
DIALOG(R)File 350:Derwent WPIX  
(c) 2007 The Thomson Corporation. All rts. reserv.

0016817939 - Drawing available

WPI ACC NO: 2007-533003/200752

XRPX ACC No: N2007-409924

Tax-managed, buy-write investment fund e.g. common stock, administering method for e.g. Internet, involves identifying index representing portfolio of assets having desired performance characteristics

Patent Assignee: EATON VANCE MANAGEMENT (EAYT); FAUST T E (FAUS-I);

HAWKES J B (HAWK-I)

Inventor: FAUST T E; HAWKES J B



Patent Family (2 patents, 116 countries)

| Patent Number  | Kind | Date     | Application Number | Kind | Date     | Update |   |
|----------------|------|----------|--------------------|------|----------|--------|---|
| US 20070118450 | A1   | 20070524 | US 2005284205      | A    | 20051121 | 200752 | B |
| WO 2007061585  | A2   | 20070531 | WO 2006US42513     | A    | 20061030 | 200752 | E |

Priority Applications (no., kind, date): US 2005284205 A 20051121

#### Patent Details

| Number         | Kind | Lan | Pg | Dwg | Filing Notes |
|----------------|------|-----|----|-----|--------------|
| US 20070118450 | A1   | EN  | 9  | 2   |              |
| WO 2007061585  | A2   | EN  |    |     |              |

National Designated States, Original: AE AG AL AM AT AU AZ BA BB BG BR BW BY BZ CA CH CN CO CR CU CZ DE DK DM DZ EC EE EG ES FI GB GD GE GH GM GT HN HR HU ID IL IN IS JP KE KG KM KN KP KR KZ LA LC LK LR LS LT LU LV LY MA MD MG MK MN MW MX MY MZ NA NG NI NO NZ OM PG PH PL PT RO RS RU SC SD SE SG SK SL SM SV SY TJ TM TN TR TT TZ UA UG US UZ VC VN ZA ZM ZW

Regional Designated States, Original: AT BE BG BW CH CY CZ DE DK EA EE ES FI FR GB GH GM GR HU IE IS IT KE LS LT LU LV MC MW MZ NA NL OA PL PT RO SD SE SI SK SL SZ TR TZ UG ZM ZW

Alerting Abstract ...a computer-implemented system for administering a tax-managed, buy-write investment fund, comprising a portfolio identification (ID) module a tax-managed buy-write financial instrument comprising an open-end or closed-end fund with a set of units available for ...

#### Class Codes

International Classification (+ Attributes)

IPC + Level Value Position Status Version

G06Q-0040/00 ...

G06Q-0040/00 ...

^ 8/3,K/5 (Item 2 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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0014854200 - Drawing available

WPI ACC NO: 2005-201904/200521

XRPX Acc No: N2005-166178

Managed accounts e.g. hedge funds, monitoring method for trading company, involves issuing notes to external investors, selecting trading advisors to manage accounts, and monitoring advisors' daily trading over distributed network

Patent Assignee: SCOTT S (SCOT-I)

Inventor: SCOTT S

Patent Family (1 patents, 1 countries)

| Patent Number  | Kind | Date     | Application Number | Kind | Date     | Update |   |
|----------------|------|----------|--------------------|------|----------|--------|---|
| US 20050044035 | A1   | 20050224 | US 2003487782      | P    | 20030715 | 200521 | B |
|                |      |          | US 2004892385      | A    | 20040715 |        |   |

Priority Applications (no., kind, date): US 2003487782 P 20030715; US 2004892385 A 20040715

#### Patent Details

| Number         | Kind | Lan | Pg | Dwg | Filing Notes                         |
|----------------|------|-----|----|-----|--------------------------------------|
| US 20050044035 | A1   | EN  | 18 | 5   | Related to Provisional US 2003487782 |

#### Class Codes

International Classification (Main): G06F-017/60

#### Original Publication Data by Authority

#### Claims:

I claim:<b>1</b>. A method for monitoring a plurality of managed accounts in an investment fund by an investment manager, comprising:issuing secured

notes to a plurality...

...wherein each managed account is held at a prime broker; allocating the assets among at least one managed account; dynamically monitoring the daily trading activity of each of the trading advisors managing each managed account over a distributed network; determining a lock-in rate for issued notes based on monitored daily activity of each of the managed accounts; and paying a dividend per annum to each external...

8/3,K/6 (Item 3 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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0014752580 - Drawing available

WPI ACC NO: 2005-100211/200511

XRPX ACC No: N2005-087034

Programmable financial instrument creating method for portfolio management, involves selecting type, set of terms and conditions for financial instrument, where type, terms and conditions are subject to modification by program

Patent Assignee: GROZ M M (GROZ-I)

Inventor: GROZ M M

Patent Family (2 patents, 106 countries)

| Patent Number  | Kind | Date     | Application Number | Kind | Date     | Update |   |
|----------------|------|----------|--------------------|------|----------|--------|---|
| US 20050010534 | A1   | 20050113 | US 2002432851      | P    | 20021212 | 200511 | B |
|                |      |          | US 2003733482      | A    | 20031211 |        |   |
| WO 2005062230  | A1   | 20050707 | WO 2004US41175     | A    | 20041208 | 200545 | E |

Priority Applications (no., kind, date): US 2002432851 P 20021212; US 2003733482 A 20031211

#### Patent Details

| Number         | Kind | Lan | Pg | Dwg | Filing Notes                         |
|----------------|------|-----|----|-----|--------------------------------------|
| US 20050010534 | A1   | EN  | 12 | 6   | Related to Provisional US 2002432851 |
| WO 2005062230  | A1   | EN  |    |     |                                      |

National Designated States, Original: AE AG AL AM AT AU AZ BA BB BG BR BW BY BZ CA CH CN CO CR CU CZ DE DK DM DZ EC EE EG ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NA NI NO NZ OM PG PH PL PT RO RU SC SD SE SG SK SL SY TJ TM TN TR TT TZ UA UG US UZ VC VN YU ZA ZM ZW

Regional Designated States, Original: AT BE BG BW CH CY CZ DE DK EA EE ES FI FR GB GH GM GR HU IE IS IT KE LS LT LU MC MW MZ NA NL OA PL PT RO SD SE SI SK SL SZ TR TZ UG ZM ZW

Alerting Abstract ...USE - Used for creating a programmable financial instrument in trading, portfolio management, collateralization, securitization, securities lending, securities borrowing, and credit enhancement...

#### Class Codes

International Classification (Main): G06F-017/60

^ 8/3,K/7 (Item 4 from file: 350)

DIALOG(R)File 350:Derwent WPIX

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0014402486 - Drawing available

WPI ACC NO: 2004-592091/200457

XRPX ACC No: N2004-468277

Collateralized debt obligation management method for transaction, involves changing obligation of deal linked to debt index under terms of agreement between sponsor and asset manager, on changing debt obligation in index

Patent Assignee: ADAMS J (ADAM-I); SLATER J (SLAT-I); SPIELER C (SPIE-I)

; WALISCH B (WALI-I)

Inventor: ADAMS J; SLATER J; SPIELER C; WALISCH B  
Patent Family (1 patents, 1 countries)

| Patent Number  | Kind | Date     | Application Number | Kind | Date     | Update   |
|----------------|------|----------|--------------------|------|----------|----------|
| US 20040143528 | A1   | 20040722 | US 2002406909      | P    | 20020828 | 200457 B |
|                |      |          | US 2003644281      | A    | 20030820 |          |

Priority Applications (no., kind, date): US 2002406909 P 20020828; US 2003644281 A 20030820

#### Patent Details

| Number         | Kind | Lan | Pg | Dwg | Filing Notes                         |
|----------------|------|-----|----|-----|--------------------------------------|
| US 20040143528 | A1   | EN  | 15 | 6   | Related to Provisional US 2002406909 |

Collateralized debt obligation management method for transaction, involves changing obligation of deal linked to debt index under terms of agreement between sponsor and asset manager, on changing debt obligation in index

...to the debt index under the terms of an asset management agreement between sponsor and asset manager. An obligation of the linked deal is changed, in response to the change of the debt obligation in the index.

#### Class Codes

International Classification (Main): G06F-017/60

#### Original Publication Data by Authority

#### Original Abstracts:

A portfolio of debt instruments, managed by an asset manager according to the terms of an asset management agreement between the asset manager and a sponsor, is a debt index. Multiple deals, as collateralized obligations, are linked to the debt index. Changes to the index by the asset manager are reflected in the linked deals. A break in the linkage to the index can be triggered by different events.

8/3,K/8 (Item 5 from file: 350)  
DIALOG(R)File 350:Derwent WPIX  
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0013505036 - Drawing available

WPI ACC NO: 2003-597606/200356

XRFX ACC NO: N2003-476305

Asset-backed security administration method for portfolio management and trading application, involves calculating current value of asset-backed security by discounting and adding future and asset-backed security cashflows

Patent Assignee: KALOTAY ASSOC INC ANDREW (KALO-N)

Inventor: KALOTAY A J; YANG D

Patent Family (1 patents, 1 countries)

| Patent Number  | Kind | Date     | Application Number | Kind | Date     | Update   |
|----------------|------|----------|--------------------|------|----------|----------|
| US 20030105696 | A1   | 20030605 | US 2001334961      | P    | 20011204 | 200356 B |
|                |      |          | US 2002309109      | A    | 20021204 |          |

Priority Applications (no., kind, date): US 2001334961 P 20011204; US 2002309109 A 20021204

#### Patent Details

| Number         | Kind | Lan | Pg | Dwg | Filing Notes                         |
|----------------|------|-----|----|-----|--------------------------------------|
| US 20030105696 | A1   | EN  | 17 | 6   | Related to Provisional US 2001334961 |

Alerting Abstract ...USE - For administration of asset-backed security such as mortgage-backed security (MBS) and collateralized mortgage obligation (CMO), for portfolio management and trading.

# Class Codes

International Classification (Main): G06F-017/60

8/3,K/9 (Item 6 from file: 350)  
DIALOG(R)File 350:Derwent WPIX  
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0008114406 - Drawing available  
WPI ACC NO: 1997-213136/199719  
XRPX ACC No: N1997-175753  
Employer contributed pension portfolios optimising system - stores market value of employer-contributed securities in pension plans, establishes matrix of relationships and diversified portfolio-based on select criteria of each participant and matrix of relationships  
Patent Assignee: METLIFE LIFE INSURANCE CO (METL-N); METROPOLITAN LIFE INSURANCE CO (METR-N)  
Inventor: HACKEL K S; LIVNAT J  
Patent Family (3 patents, 72 countries)  
Patent Application  
Number Kind Date Number Kind Date Update  
WO 1997012336 A1 19970403 WO 1996US15310 A 19960925 199719 B  
AU 199671659 A 19970417 AU 199671659 A 19960925 199732 E  
US 5806047 A 19980908 US 1995533132 A 19950925 199843 E

Priority Applications (no., kind, date): US 1995533132 A 19950925

## Patent Details

| Number        | Kind | Lan | Pg | Dwg | Filing Notes |
|---------------|------|-----|----|-----|--------------|
| WO 1997012336 | A1   | EN  | 23 | 5   |              |

National Designated States,Original: AL AM AT AU AZ BA BB BG BR BY CA CH CN CU CZ DE DK EE ES FI GB GE HU IL IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MD MG MK MN MW MX NO NZ PL PT RO RU SD SE SG SI SK TJ TM TR TT UA UG UZ VN  
Regional Designated States,Original: AT BE CH DE DK EA ES FI FR GB GR IE IT KE LS LU MC MW NL OA PT SD SE SZ UG  
AU 199671659 A EN Based on OPI patent WO 1997012336

## Class Codes

International Classification (Main): G06F-017/60

## Original Publication Data by Authority

### Original Abstracts:

...which own employer securities to transfer the employer securities into a combined pool. The pool manages the combined portfolio, selling portions of the contributed stocks and purchasing other financial instruments to increase diversification. The system checks prospective participants for pre-specified admission requirements and traces the flow of securities...

...which own employer securities to transfer the employer securities into a combined pool. The pool manages the combined portfolio, selling portions of the contributed stocks and purchasing other financial instruments to increase diversification. The system checks prospective participants for pre-specified admission requirements and traces the flow of securities and cash between the combined...